National Level REDD Assessment Guidance Framework

Why?	Who owns it? (Institionalisation)	What are the impacts that are being studied	Who or what is being impacted	Who are users of the information	How is the national process nested with other scales	What are the methodological Considerations?	What are the human resources and capacity needed?	What will it Cost?
Risk and feasibility assessments	Forestry / natural resource department	Whole system (e.g., SLF+) and links	All REDD+ stakeholders	Donor(s)	Trans-boundary / regional	Discipline(s) of team/leaders Philosophy (e.g., rights-based)	Need for comparative international guidance	High cost over the long term
Assess and design	Higher level government body	Poverty reduction	Forest dependent communities	Government	National	Conformity with standard	Need for comparative international input	High cost start up, moderate cost over time
Evaluate process	Civil Society Organisation	Enabling environment (policies and institutions)	Small scale enterprises	Research community	Sub-national	Attribution	Need for high level national expertise	Moderate cost
Evaluate impact		Social, cultural and territorial dimensions	Private sector enterprises	Local stakeholders	Landscape	Sensitivity to conflict and differential vulnerability	Need for high level national input	Low cost
Monitor impact		Livelihoods broadly defined	Social groups (e.g., indigenous people)	International convention	Selected areas	Logistics	Local experts	

Contribute to science	Livelihoods narrowly defined	Government institutions	NGOs/civil society	Site	Leverage for social change	Communities/ local actors
Adaptive Management	Negative impacts		Initiative (e.g., RRI)	"Terroir" indigenous/ethnic area	Ethics and sensitivity of information	Intra-governmental
Compliance to Standards	Specific impact (e.g., land tenure)		Private Sector	Global	Timing	
	Enabling environment institutions, governance, economic		Investors		Transparency and disclosure	
	Agro-eco-systems		Media / Public		Theory of change robustness	
			Indigenous Peoples Organisa-tions		Rigour and practicality	
			Standard setting body			

Social Impacts of REDD+

Pam Jagger

9 May 2012

THINKING beyond the canopy

CIFOR

Internal and external validity

- Internal validity is about ATTRIBUTION – how sure can we be that the observed outcome is was CAUSED by REDD+?
- External validity is about whether the findings can be applied to a diversity of settings (i.e. how representative is the case?)
- The focus of REDD+ national level social impact assessment should be on ensuring internal validity – are observed outcomes CAUSED by REDD+

Gold standard and beyond

- In the medical field for drug trails etc. randomized controlled trials (RCTs) are used
- RCTs have recently been applied to all manner of public policy programs
  - Cash transfers
  - Mosquito nets
  - Fertilizer subsidies
  - Information about utility bills
- Not likely relevant for REDD+
  - Would require REDD+ activities to be randomly assigned and this does not make a lot of sense given the objectives of REDD+

What are the next best options?

- To attribute causality (in order of confidence)
- Quasi experimental designs (either randomization or control group – but not both)
  - Multiple time series (control and intervention)
  - **Non-equivalent comparison group design (BACI)**
  - Separate random sample pre and post test
  - Interrupted time series (regression discontinuity design)
  - Control and intervention
- Non-experimental designs
  - Before and after
  - Statistical analyses
  - Comparative case studies
  - Single case studies

Best design for attributing causality at national scale?

	Before REDD+			X		After REDD+			
Intervention sites	O_1	O_2	O_3	O_4	0_5	O_6	O_7	O_8	O_9
Control sites	O_1	O_2	O_3	O_4	0_5	O_6	O_7	O_8	O_9

- Consider that *ex ante* vs. *ex post* is a false dichotomy
  - There is no “after” for REDD+
- Think about creative ways to leverage existing longitudinal data sources: (LSMS; DHS; Census)
- Build in controls for as long as we can (we don’t have the option to randomize)
- Large scope for addressing impact heterogeneity
  - Gender impacts; Ethnicity; Poverty status

Brief overview on CIFOR'S GLOBAL COMPARATIVE STUDY ON REDD (GCS)

THINKING beyond the canopy

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COMPONENT 1: Analysis of National REDD+ Policies and Processes

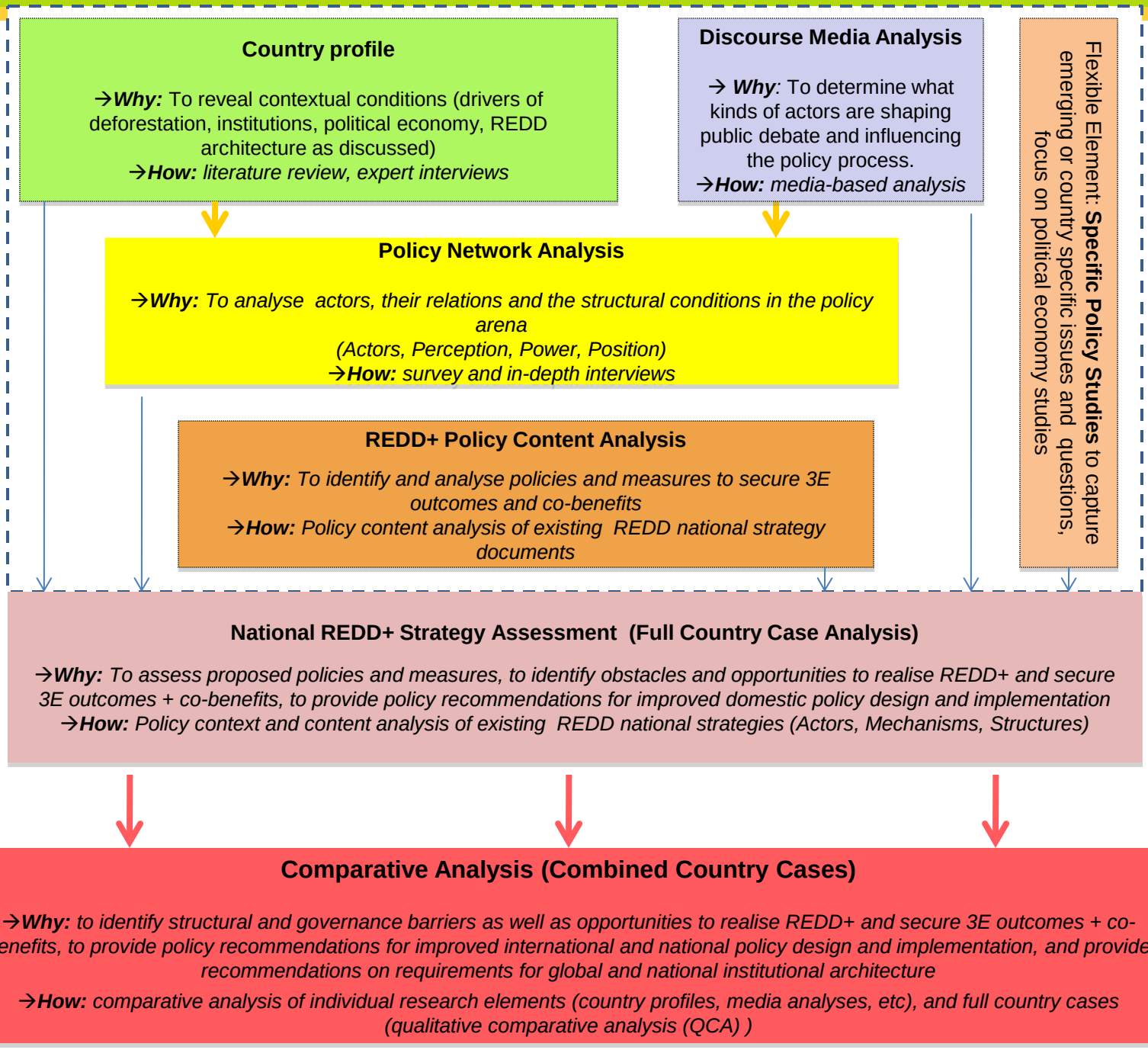
Where and since when?

Started 2009/10

Started 2011

Partial analysis, started in 2011

Asia Pacific	Africa	Latin America
Indonesia	Cameroon	Bolivia
Vietnam	Tanzania	Brazil
Nepal	DR Congo	Peru
PNG	Mozambique	
	Burkina Faso	



Country case studies

Cross-country comparative analysis

Some preliminary comparative results: context

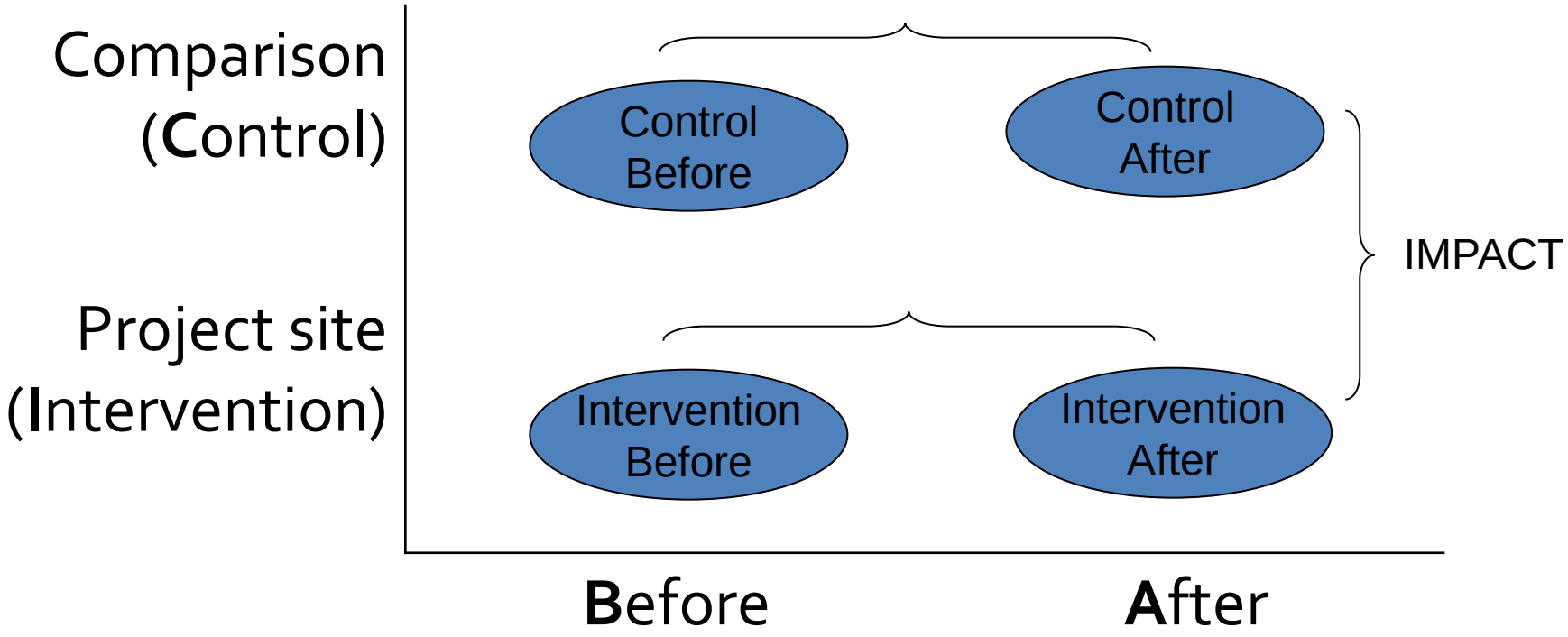
- Political systems in case study countries vary strongly
  - **regime types** different (Vietnam, Nepal etc)
  - **federal challenges** (and opportunities) (Brazil, DRC, RI...)
  - ongoing processes of **decentralization and recentralization** of forest resources (RI, DRC..)
  - colonial and post **colonial impacts on land tenure** vary
  - **weak governance**
- National policies and measures facilitate D&D

Some preliminary comparative results: challenges

- Common challenges of **coordination, capacity, tenure, fire**
- Political economy factors and institutional path dependencies: strong **vested interests, weak civil society**
- Policy formulation and **implementation lags behind** rhetoric
- **National "ownership"** over the design process is key

COMPONENT 2: Analysis of REDD Demonstration Activities

Our research design



What we are doing: C2 Countries and Projects

Continent	Country	REDD project site
LATIN AMERICA	BRAZIL (6)	Government of Acre (SEMA). Acre
		Instituto Centro de Vida. Mato Grosso.
		IPAM. State of Para.
		TNC. Sao Felix du Xingu
		Bolsa Floresta - *Not part of BACI*
	PERU (2)	BAM. Madre de Dios; CI San Martin
AFRICA	CAMEROON (2)	CED. South and East region; GFA, South West Province
	TANZANIA (6)	TaTEDO. Shinyanga.
		Tanzania Forest Conservation Group (TFCG). Kilosa.
		Tanzania Forest Conservation Group (TFCG). Lindi.
		HIMA. Care International. Zanzibar.
		JGI. Masito Ugalla Ecosystem.
		MCDI. Mpingo.
ASIA	INDONESIA (6)	Government of Aceh. Ulu Masen.
		Community Carbon Pool. FFI. West Kalimantan.
		KFCP. AusAid. Central Kalimantan.
		Rimba Raya . Infinite Earth. Katingan Peatland Starling Resources, Central Kalimantan.
		TNC Berau. East Kalimantan.
	VIETNAM	SNV. Cat Tien . Lam Dong province.

Projects, Villages, HHs by Research Mode

Research mode	Number of project sites	Intervention		Control		Total villages	Total house-holds
		Villages	HHs	Villages	HHs		
Intensive	13	52	1,560	52	1,560	104	3,120
Extensive	6	24	-	-	-	24	-
Non-BACI	1	31	247	11	131	42	378
Total	20	78	1,807	63	1,691	170	3,498

What we are doing now

Tasks	3Es and co-benefits
Return of results	
Publications based on early research	Equity & social co-benefits
Biophysical baseline & MRV workshops	Effectiveness
Set-up, implementation, opportunity costs	Efficiency & equity
Benefit sharing	Efficiency & equity
REDD+ and biodiversity	Environmental co-benefits

13 key themes

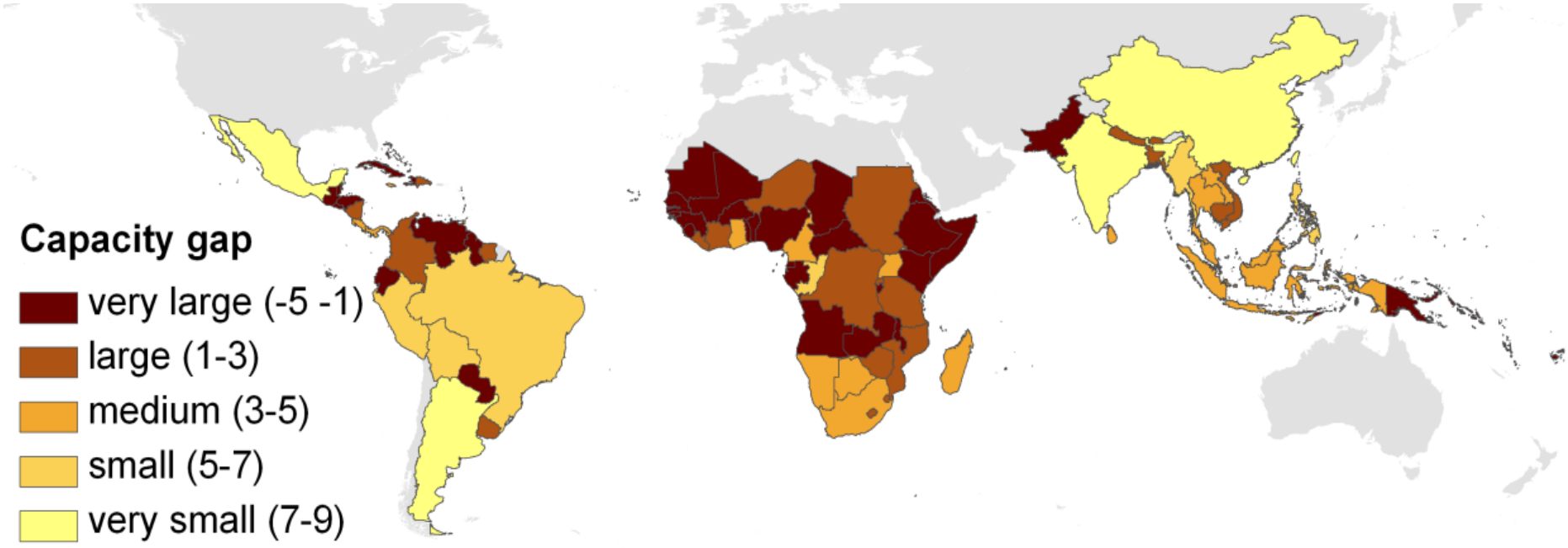
1. Are REDD+ interventions in line with forest threats?
2. Can the proponent determine the REL & measure emission reduction?
3. Will project costs be affordable & distributed fairly?
4. Are social safeguards being observed adequately?
5. How well are tenure arrangements being secured?
6. Are women's rights being respected?
7. What are the emerging benefit sharing arrangements?
8. What are the hopes and worries of participants?
9. What are the current determinants of wellbeing?
10. What if any are the biodiversity goals & attainments?
11. What are the main challenges experienced by proponents?
12. How is national policy affecting project development? How is project development affecting national policy?
13. How well are our methods working at project sites?

Safeguards findings

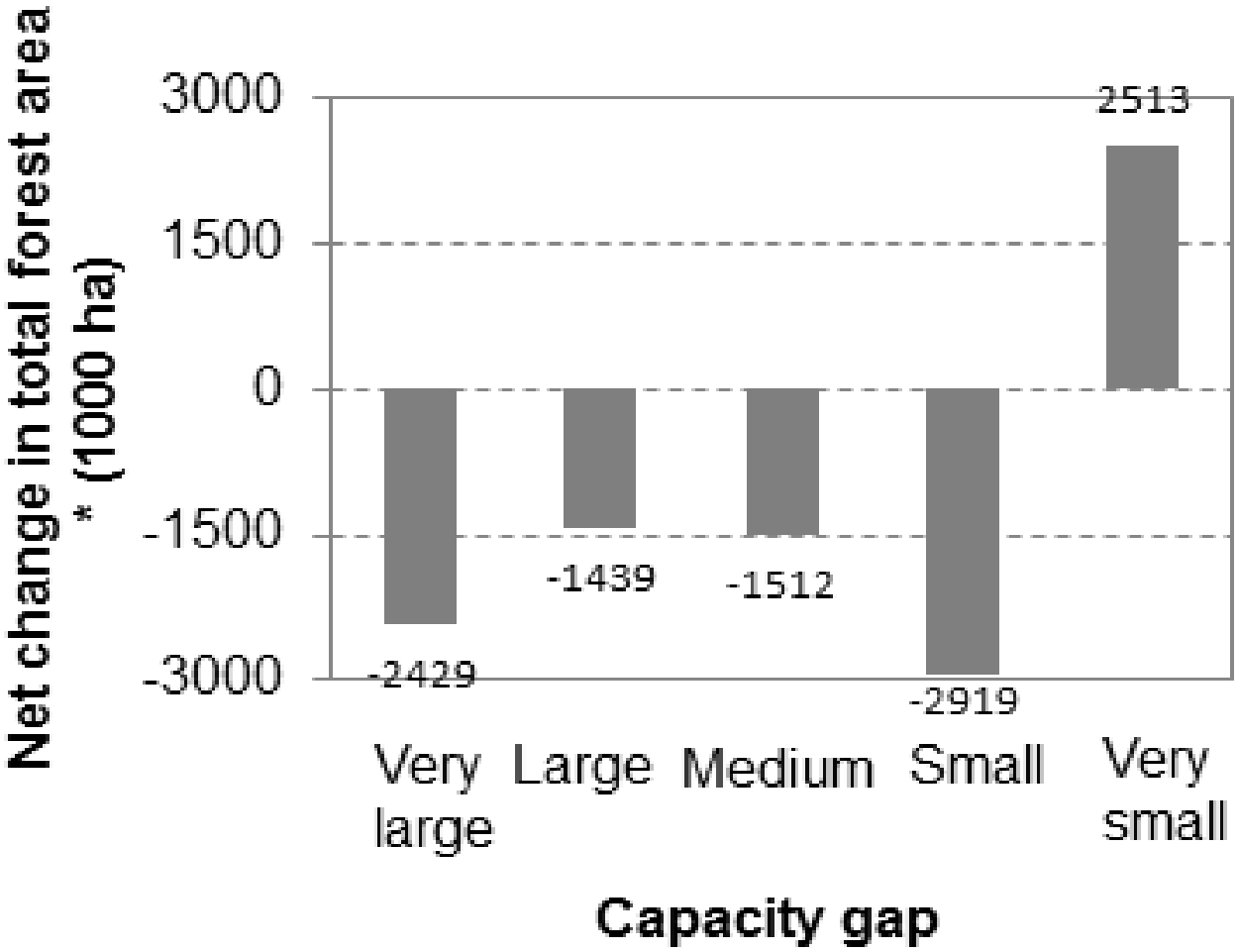
- National scale
  - Limited national policy or media discourse on REDD+ safeguards (c.f. Brazil and Indonesia)
  - Limited national capacity to implement, monitory, enforce and report on safeguards
  - Concerns about sovereignty, overlap with other safeguards (e.g. CBD), preoccupation with carbon MRV
- Project scale
  - Heavy focus on certification
  - Varying perceptions/implementation of FPIC
  - Concerns about benefit sharing (over-promising)
  - Biodiversity future priority for most projects

COMPONENT 3:
Measurement, Reporting and Verification

Assessment of capacity to do forest GHG inventories



MRV capacity gap analysis



Several measurement projects ongoing at the moment

- Soil C modeling, non-CO_2 GHGs
- Mangrove forest C
- Mangrove C
- Soil C in mineral soils (Indonesia, Peru, Cameroon)
- Effects of fertlilzation on soil GHG emissions in oil palm on peat (Jambi)
- Effects of land use change on C stocks (Kalimantan)
- N oxides on mineral soils

Forest Income after Uganda's Forest Sector Reform: Are the Rural Poor Gaining?

- Context
  - Uganda leading decentralization reforms in sub-Saharan Africa
  - Forest sector reform focused on poverty reduction
  - Decentralization theory is mixed regarding whether poverty reduction is an expected outcome
  - Very limited empirical evidence on quantitative outcomes of decentralization reforms

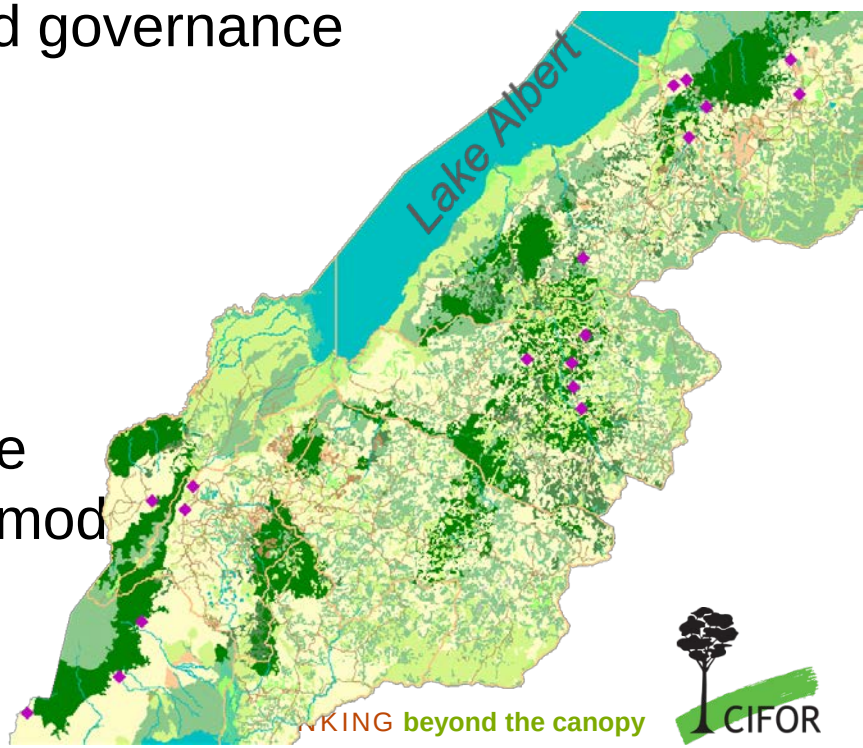
- Research question:

Does forest sector decentralization increase forest income for the rural poor?

Source: Jagger (2010)

Data and approach

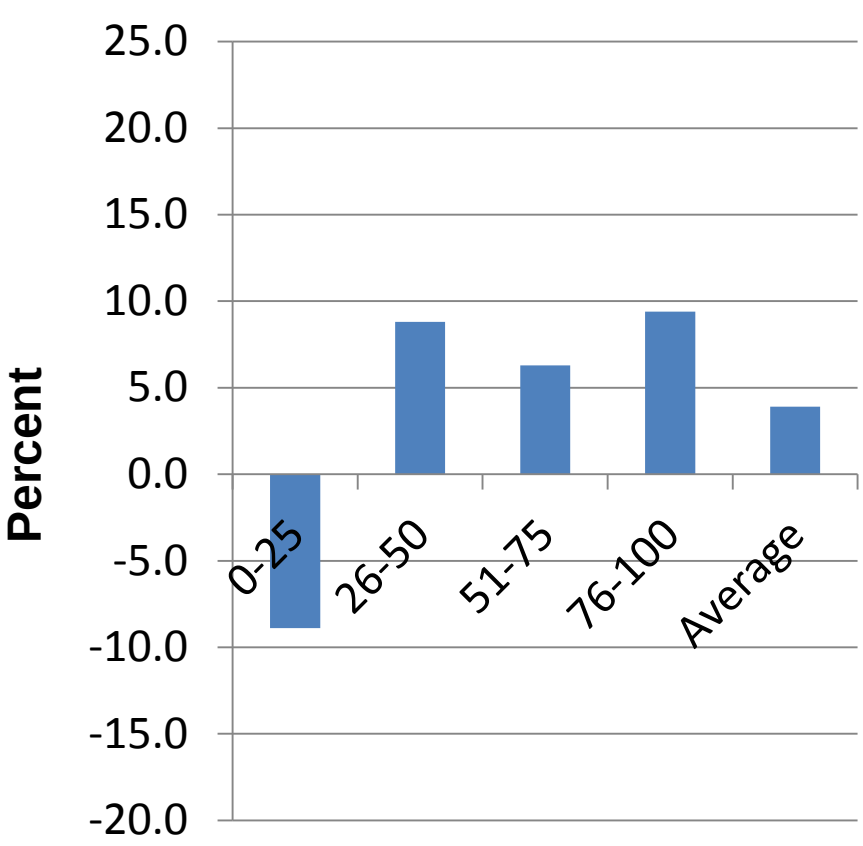
- Quasi-experimental design
  - Post-reform household income portfolio data (2007, N=521) compared with pre-reform data (2003, N=256)
  - Two treatment groups
    - Democratic decentralization (private forest)
    - For-profit parastatal (gazetted forest)
  - Control group
    - National Park under centralized governance
- Treatment groups modeled in comparison to control group using the **difference-in-difference estimator**
  - Double-difference means (DID)
  - Conditional difference-in-difference estimates using Tobit regression mod



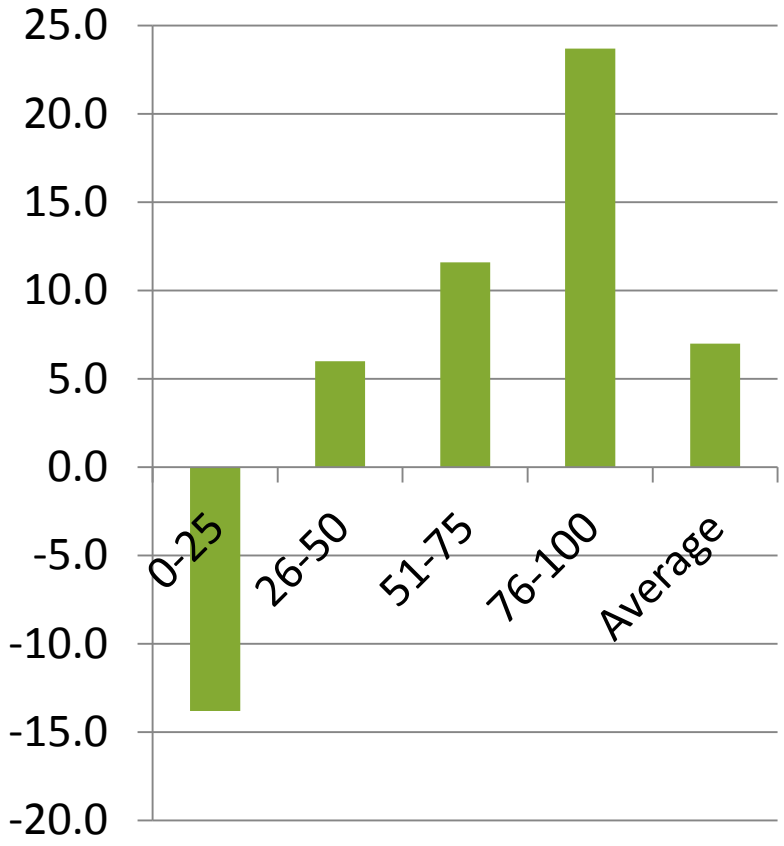
Source: Jagger (2010)

Average change in share of hhd income from forests (DID)

Democratic Decentralization Bugoma Forest Site



For Profit Parastatal Budongo Forest Site



Income Quartiles

Source: Jagger (2010)

Conditional DID estimates

Democratic Decentralization to District Forestry Service

- **Increase of $5** annual household income from forests
- **Increase of 3.1%** in share of annual household income from forests

- **Highest income quartile households:**
  - Increases in forest income **(+$30)**
  - Increase in share of total income from forests **(+11.6%)**
- **Lowest income quartile households:**
  - Decline in income from forests **(-$10)**
  - Significant declines in share of income from forests **(-10.7%)**

Devolution to National Forestry Authority (for-profit parastatal)

- **Increase of $53** annual household income from forests
- **Increase of 6.4%** in share of annual household income from forests
- **Highest income quartile households:**
  - Significant increases in forest income **(+$162)**
  - Significant increases in share of total income from forests **(+25%)**
- **Lowest income quartile households:**
  - Significant declines in income from forests **(-$15)**
  - Significant declines in share of income from forests **(-15%)**

Source: Jagger (2010)

Thinking beyond the canopy

Center for International Forestry Research

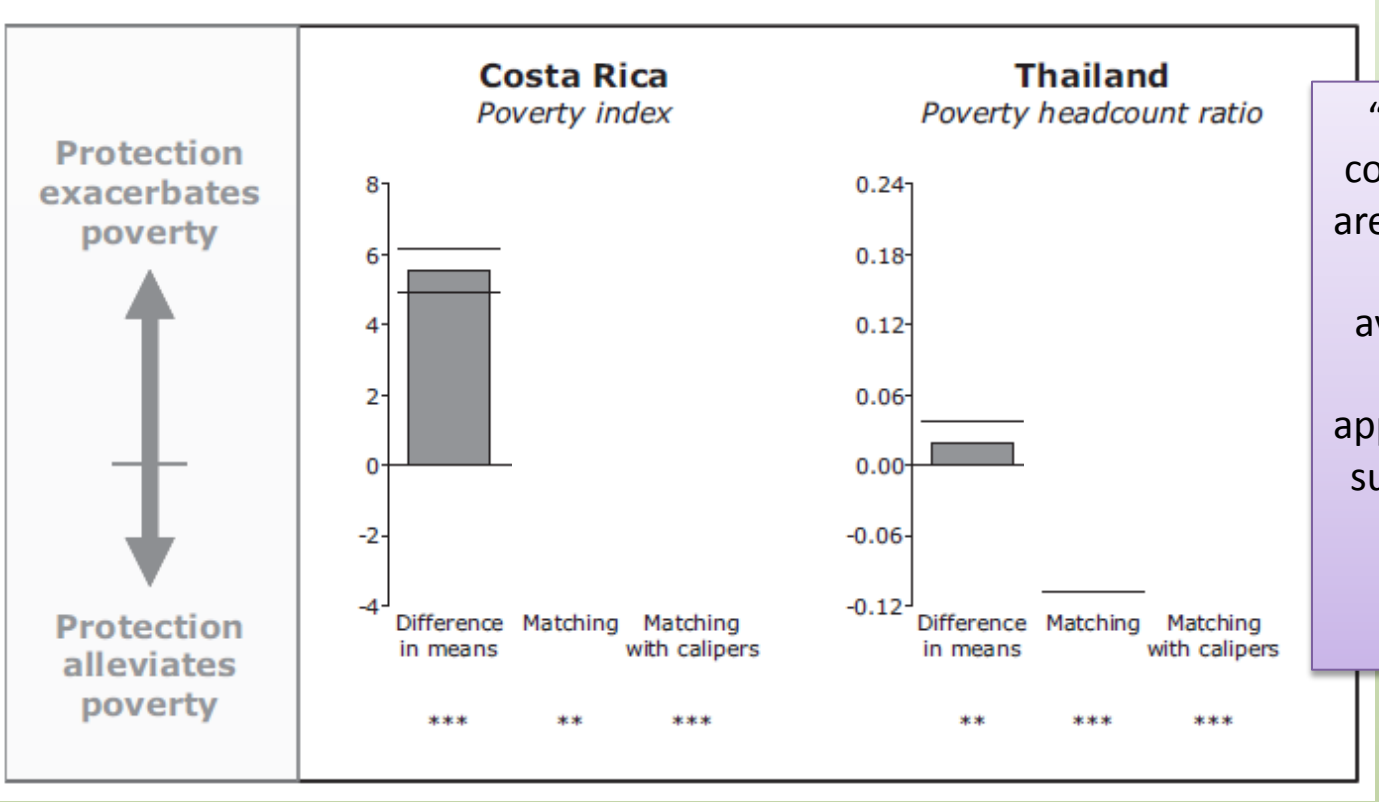
CIFOR advances human wellbeing, environmental conservation and equity by conducting research to inform policies and practices that affect forests in developing countries. CIFOR is one of 15 centres within the Consultative Group on International Agricultural Research (CGIAR). CIFOR's headquarters are in Bogor, Indonesia. It also has offices in Asia, Africa and South America.

How can more rigorous research designs better inform the design and more appropriate targeting of *evidence-based policies* for improved rural livelihoods and improved forests?

Lauren Persha; University of North Carolina at Chapel Hill.

LISA-REDD+ workshop, 8-10 May 2012, Nairobi.

Why spend addt'l time & $$ using a counterfactual approach?

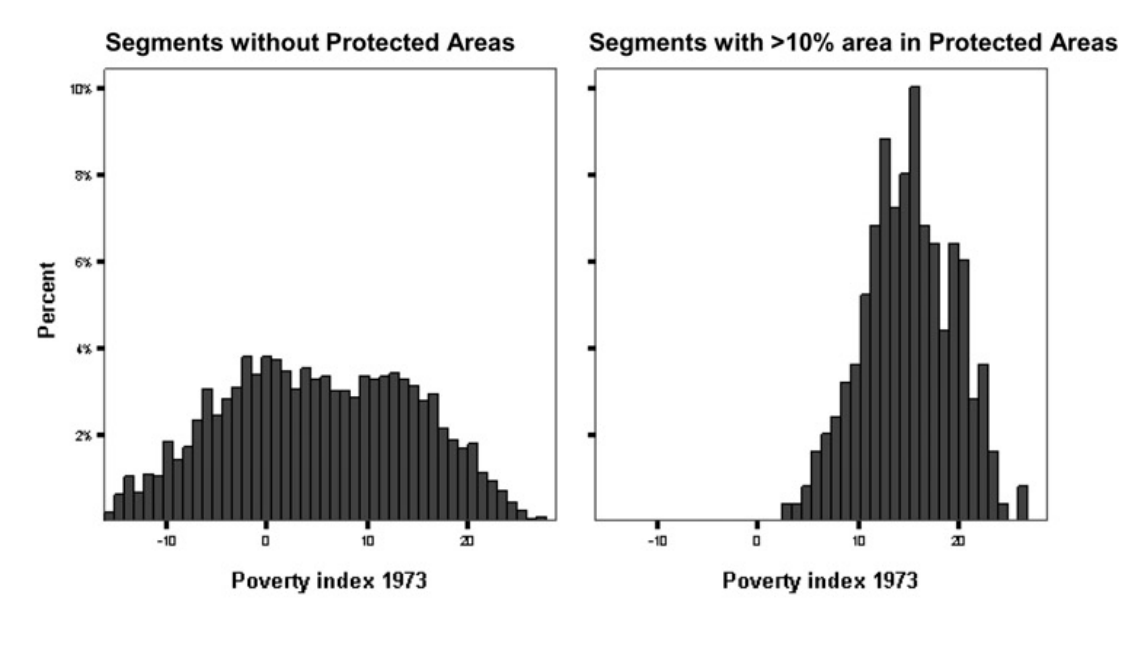


"We … find that although communities near protected areas are indeed substantially poorer than national averages, an analysis based on comparison with appropriate controls does not support the hypothesis that these differences can be attributed to protected areas."

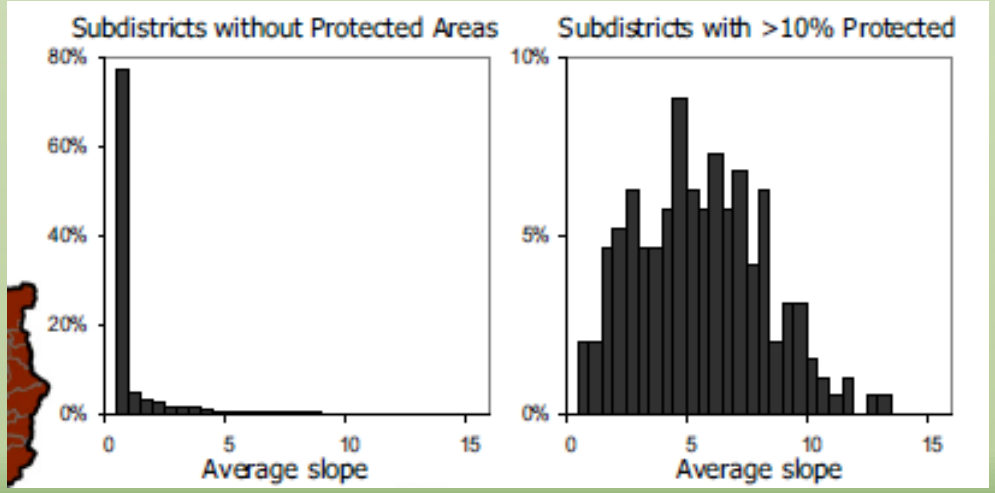
Fig. 3. Do protected area systems exacerbate poverty? Poverty rates in 2000 were, on average, higher near Costa Rica and Thailand protected areas, seemingly suggesting that protected area systems have exacerbated poverty (dark bars). However, estimates using matching methods to control for differences in baseline characteristics that affect both poverty and the location of protected areas indicate that protected areas have alleviated poverty (lighter bars). Bars refer to 95% confidence intervals. Standard errors for matching estimates were calculated using the robust variance formula in ref. 27. A *t* test is

Andam, Ferraro, Sims et al 2009. Protected areas reduced poverty in Costa Rica and Thailand. *PNAS* 107:9996-1001

Why spend addt'l time & $$ using a counterfactual approach?



- Baseline data
- Appropriate comparison cases



Andam, Ferraro, Sims et al 2009. Protected areas reduced poverty in Costa Rica and Thailand. *PNAS* 107:9996-10013

"Is Tanzania's Participatory Forest Management Program a Triple Win? Understanding Causal Pathways for Livelihoods, Governance & Forest Condition Impacts"
Persha (PI), Agrawal (U Michigan, co-I), Meshack (TFCG, co-I); Funding = $402K.

Counterfactual, quasi-experimental research design to evaluate impacts of decentralization on HH livelihoods, village-level governance & forest conditions

- 130 sites total (village + forest)
- 65 TREATMENT (FRs & villages under JFM since 2002) & 65 CONTROLS (not yet / never JFM)
- Baseline HH income data: Sample pool drawn from overlap of FRs w/ 2001 HBS EAs
- Treatment & controls matched on 3 pre-treatment covariates

Household Livelihoods: (household survey: ~ 3,900 HHs)

- Land, livestock, other assets ;
- Subsistence & cash income (forest and non);
- Equity & extent of forest governance participation & of forest benefits (elite capture, gender, wealth class);

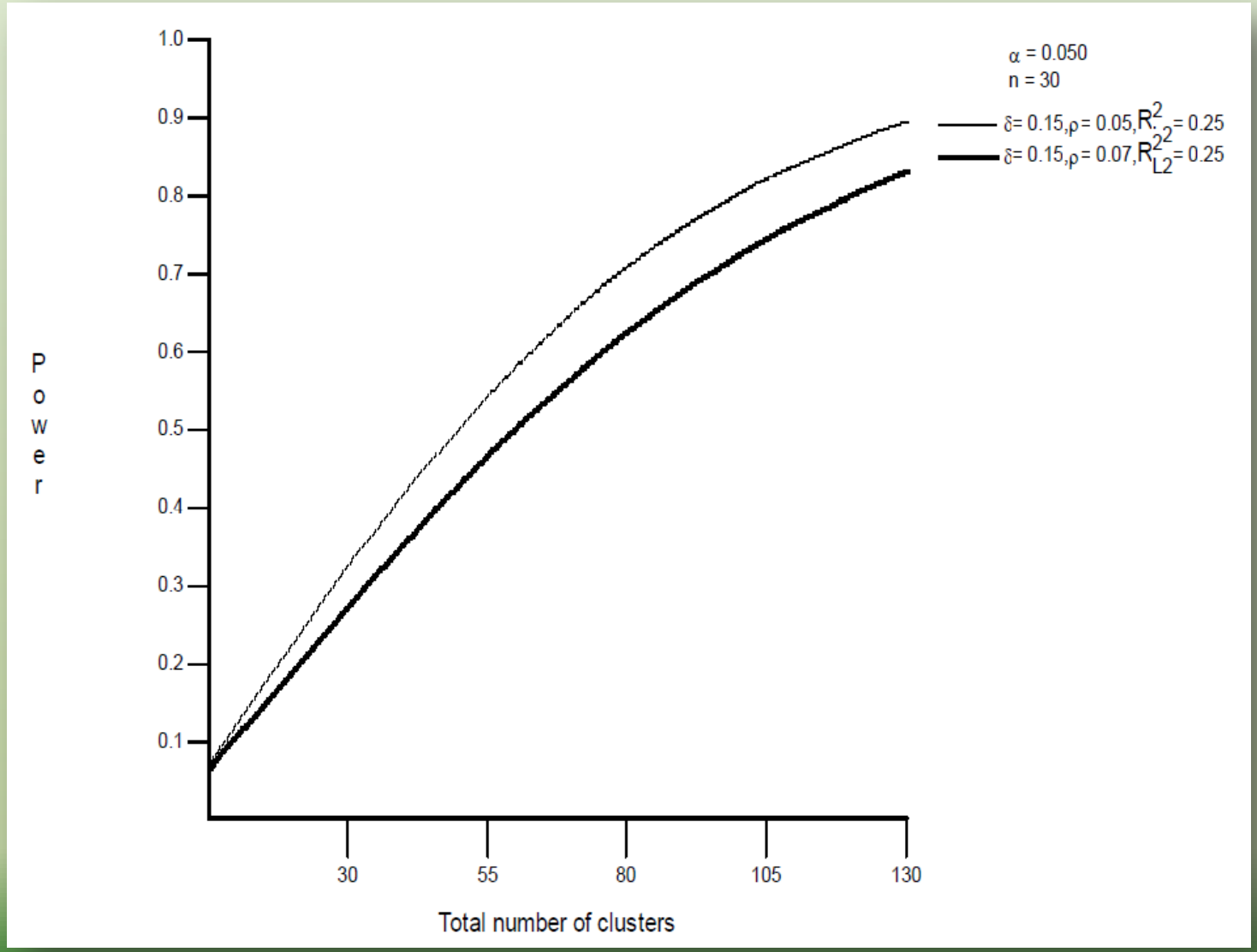
Village Level Forest Governance: focus groups, key informant interviews (~ 130 villages)

- Institutional arrangements, de facto & de jure rules, property rights, acccountability, etc
- Forest revenue generation, expenditure and accounting;
- Monitoring and enforcement of forest rules;

Forest Conditions : vegetation sampling & harvest intensities (~130 forests)

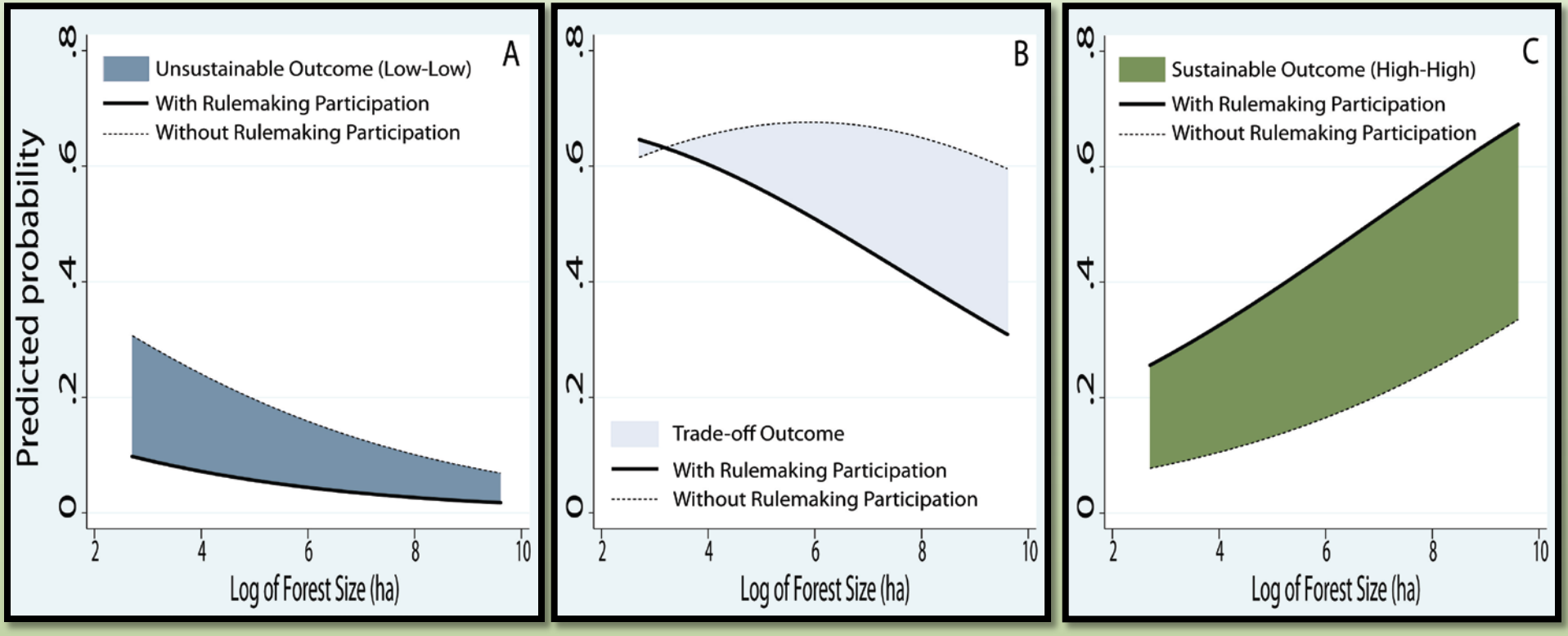
Research design II

Power to detect a 15% difference in HH income between JFM & non-JFM households in Tz



Testing validity of assumptions about causal processes:
Why are rulemaking participation rights important?

Low- Low Outcomes | **Trade-off Outcomes** | **High-High Outcomes**



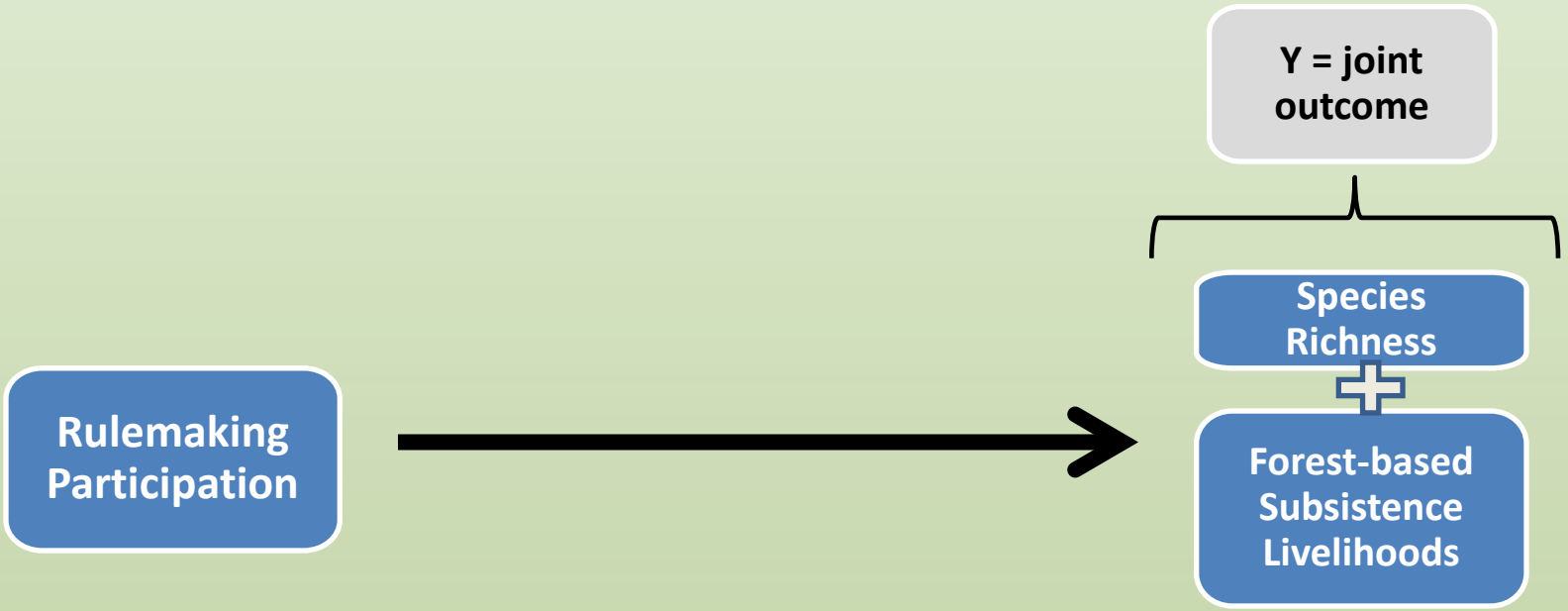
Persha, Agrawal & Chhatre, Science 331:1606-1609 (2011)

Potential policy implications?

- Harder to maintain high biodiversity & subsistence livelihoods from small patches of forest;
- Formalizing rulemaking rights for local forest users improves likelihood of 'jointly positive' outcomes (perhaps especially in small forests?)

Testing validity of assumptions about causal processes:

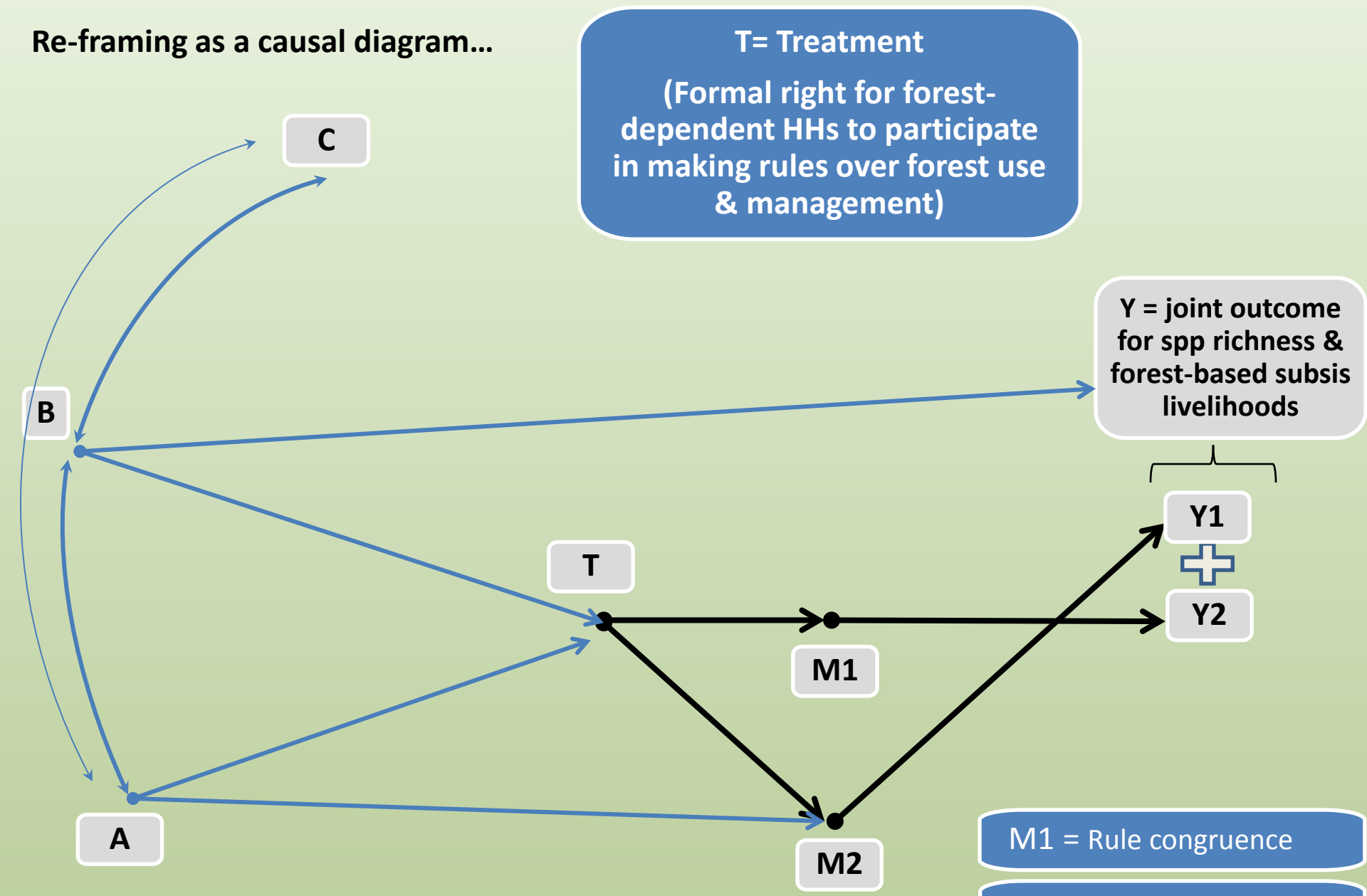
E.g.,: What are the mechanisms by which the implementation of local rulemaking participation could promote both biodiversity conservation & subsistence livelihoods?



Theory suggests:

1. Greater accountability of decision–makers & management efficiency
2. Decisions tailored to locally relevant context / incorporate site specific info
3. Incentivizes actions which maintain benefit flows over longer time horizons (commercial harvesting restrictions?)

Re-framing as a causal diagram…



Strategic Social and Environmental Assessment (SESA) and the Environmental and Social Management Framework (ESMF) as developed by the Forest Carbon Partnership Facility

Tom Blomley

What is FCPF and what does it do?

- Programme implemented by the World Bank
- Supports countries with REDD readiness
- Being implemented in 37 countries
- Initial grants of 300,000 USD to prepare REDD-Preparation Proposals (R-PPs)
- Upto 3.2 Million USD for implementation of R-PPs
- Most countries have now approved R-PPs

What is SESA and what does it do?

- SESA stands for "Strategic Environmental and Social Assessment"
- Applied to national level REDD+ Programmes
- SESA is a key output of the implementation of R-PPs and demonstrates compliance with WB safeguard policies
- Undertaken by government agencies who report back to World Bank. Involvement and ownership of information by other parties is limited
- Implementation of SESAs to date has proven a challenge due to its complexity, as well as lack of guidance from World Bank

What does SESA do?

SESA allows for incorporation of environmental and social considerations into the REDD Readiness process including safeguarding during both the preparation and the implementation of the REDD-plus strategy as follows:

- *Enhancing the REDD+ Strategy*: Generates recommendations to address legal, institutional, regulatory and capacity gaps to manage environmental and social priorities associated with the drivers of deforestation and forest degradation.
- *Environmental and Social Safeguarding*: Assessment of environmental and social risks and potential impacts of REDD+ Strategy Options during preparation of REDD+ Strategy

What is the ESMF and what will it do?

- ESMF stands for “Environmental and Social Management Framework”
- ESMF is done once REDD+ strategy is known and when concerns relevant safeguard policies of the WB are raised.
- The ESMF provides a framework for managing and mitigating the environmental and social risks associated with future investments (projects, activities, and/or policies and regulations) associated with implementing a country’s REDD+ strategy
- Based around World Bank Safeguard Policies – Eg: “Resettlement Framework” and “Resettlement Action Plan”, if displacement of people is taking place
- Must include “monitoring arrangements” (but not specifically monitoring plan) for approval. Monitoring plan monitors implementation of framework – but not broader social impacts

Design of SESA

- Strategic Assessments are typically applied as a separate independent process to sector level policy reforms. Originally this approach was considered for REDD-plus. It required
  - Preparation of separate terms of reference for Component 2d of the R-PP : Environmental and Social Impacts
  - A separate consultation and participatory process

- Feedback from stakeholders called for simplification to eliminate:
  - Overlap and duplication between analytical and diagnostic work in 2d and other R-PP components
  - Duplication between processes e.g. Consultation and Participation between the R-PP and the SESA given that majority of analytical considerations are already covered in other R-PP components.

Design of SESA

As a result…..

- ‘Strategic’ element has been mainstreamed into the R-PP template and can be applied as fully integrated into the readiness preparation process
- Integration of SESA into the R-PP template rather than separate track strengthens the thinking about safeguards and the actions required at the country level
- Allows for an iterative process whereby information on environmental and social considerations can be input during the selection and development of REDD plus strategy options

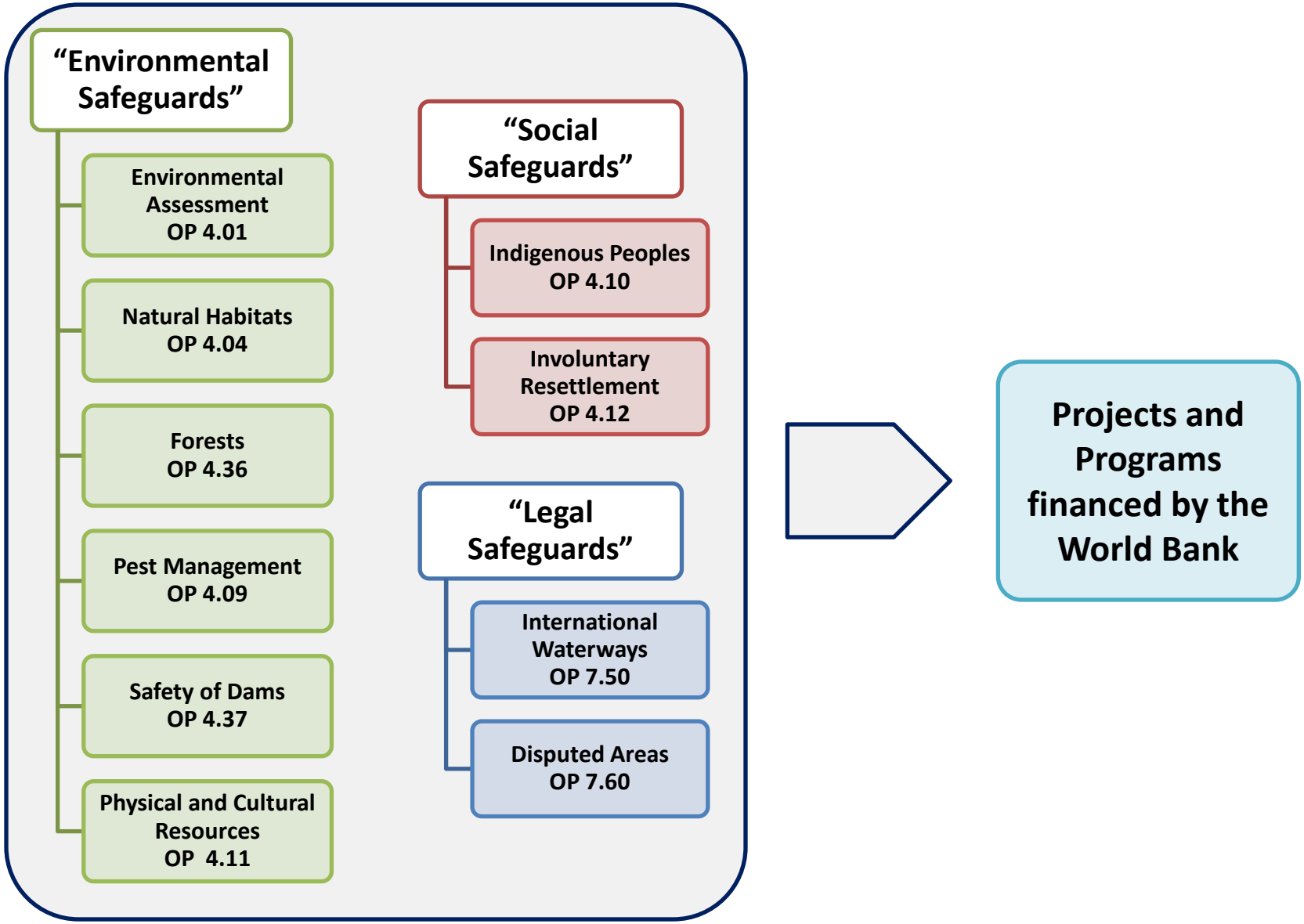
Although…..

- Continuous revisions to SESA (methods and approach) have generated some level of confusion – especially for countries ahead of others

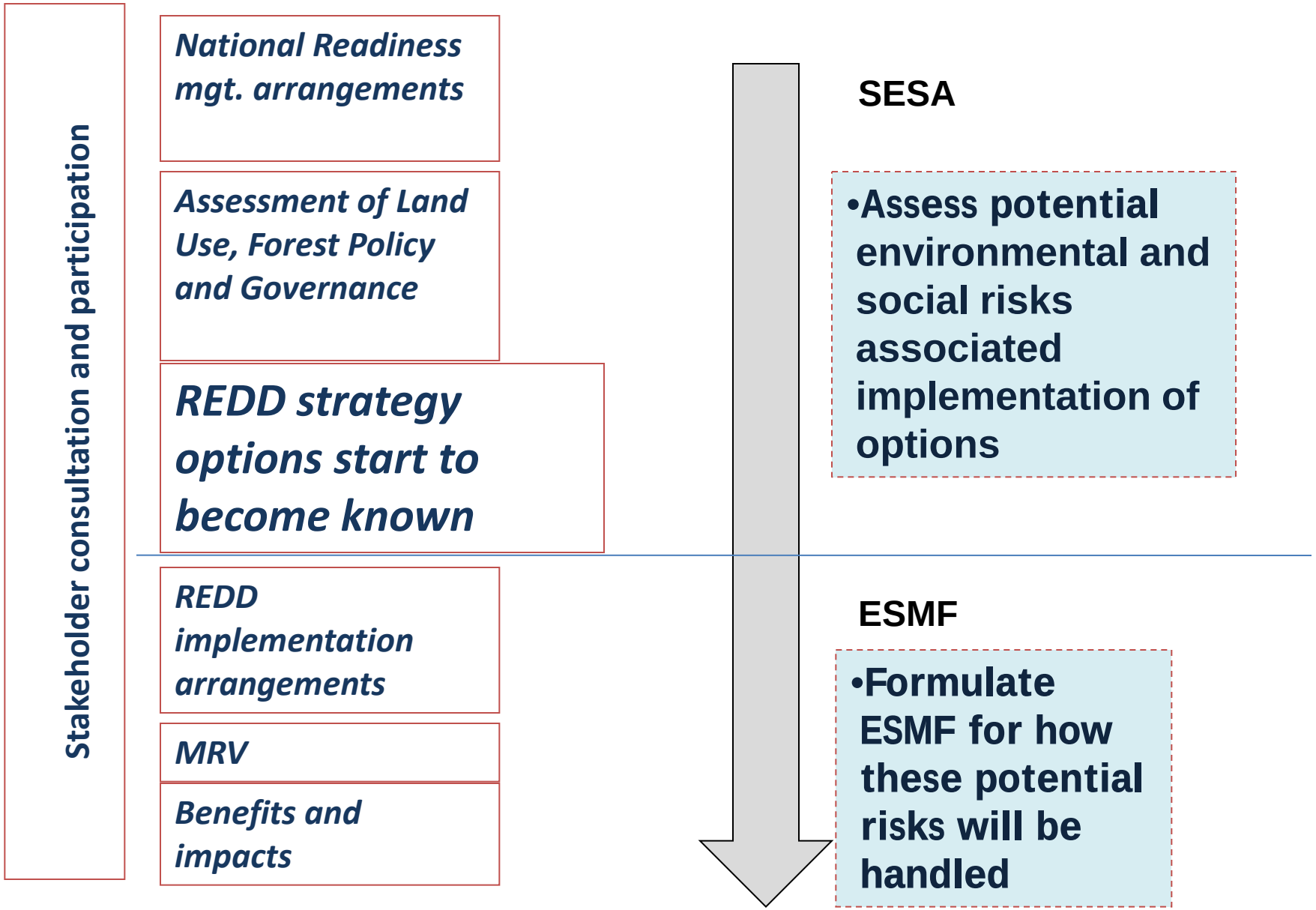
Added Value of SESA

- Assesses the extent to which the REDD strategy addresses the existing institutional, policy, legal, regulatory and capacity gaps to manage the environmental and social priority issues in the context of REDD
- Helps select among indicative REDD strategy options based on identification of environmental and social risks of potential interventions/projects
- Links SESA to the World Bank's safeguard policies
- Incentives exist for countries to undertake SESA and also for countries to engage with different interest groups beyond government

World Bank Safeguard Policies



Timing of SESA / ESMF



SESA/ESMF Process Flowchart

STEP 1: Include provisions for coordinating SESA in national readiness management arrangements
RESP: REDD+ Country Government
ACTIONS: Determine which entities will be responsible for SESA implementation and oversight, respectively; Create Sub-Committee or Working Group on safeguards application and/or SESA implementation
DOCU: Description in component 1a of R-PP
TOOLS: organizational mapping; political economy analysis

STEP 2: Establish SESA-specific outreach, communication, and consultative mechanisms
RESP: REDD+ Country Government
ACTIONS: Revisit composition of cross-sectoral, national-level working group for REDD+; Plan and carry out capacity building events; Organize a national-level multi-stakeholder workshop to engage in initial issues scoping
DOCU: Consultations on key social and environmental considerations included in the overarching Consultation and Participation Plan for REDD+ readiness
TOOLS: stakeholder mapping; gender analysis

STEP 3: Prepare SESA Work Plan and/or ToR
RESP: REDD+ Country Government
ACTIONS: If SESA is to be implemented by Government, have relevant specialists prepare SESA Work Plan; If SESA is to be implemented by consultants, initiate the bidding process, based on ToR prepared by Government; Organize a national-level, multi-stakeholder workshop to validate SESA Work Plan
DOCU: Descriptions in components 2b and 2d of R-PP
TOOLS: project planning software; matrices; Gantt chart

STEP 4: Prioritize the drivers of deforestation and define env. and social issues and priorities in relation to them
RESP: SESA implementing entity
ACTIONS: Contract and carry out special studies, whose ToR have been publicly consulted; Conduct interviews; Organize workshops and/or meetings at the national and subnational levels
DOCU: Draft description in R-PP Progress Report; Final description in R-Package
TOOLS: spatial analysis; case studies; ranking/scoring exercises

STEP 5: Assess proposed REDD+ strategy options in relation to the previously defined priorities
RESP: SESA implementing entity
ACTIONS: Identify legal/regulatory, policy, institutional, and capacity gaps to manage the priorities; Generate recommendations to address the identified gaps; Organize workshops and/or meetings at the national and subnational levels
DOCU: Draft description in R-PP Progress Report; Final description in R-Package
TOOLS: correspondence analysis; gap analysis

STEP 6: Assess environmental and social risks and potential impacts (both positive and negative) of proposed REDD+ strategy options
RESP: SESA implementing entity
ACTIONS: Contract and carry out special studies, whose ToR have been publicly consulted; Conduct interviews; Organize workshops and/or meetings at the national and subnational levels
DOCU: Draft description in R-PP Progress Report; Final description in R-Package
TOOLS: SWOT analysis; impact analysis; gender analysis

STEP 7: Refine existing and/or generate new REDD+ strategy options
RESP: SESA implementing entity
ACTIONS: Organize a national-level multi-stakeholder workshop to validate the refined REDD+ strategy options
DOCU: Draft description in R-PP Progress Report; Final description in R-Package
TOOLS: N/A

STEP 8: Develop ToR for preparing the ESMF
RESP: SESA implementing entity
ACTIONS: Disclose draft or final ToR for public comment; If ESMF is to be prepared by consultants, initiate the bidding process
DOCU: ToR included in R-PP Progress Report
TOOLS: Guidelines in Annex C of R-PP template

STEP 9: Prepare ESMF consistent with the applicable safeguards
RESP: SESA implementing entity or ESMF preparation entity
ACTIONS: Organize meetings at the national and/or subnational levels, to consult on initial draft ESMF; disclose ESMF or advanced draft ESMF for public comment
DOCU: ESMF or advanced draft ESMF, for inclusion in R-Package
TOOLS: Sample ESMFs to come

STEP 10: Prepare summary of SESA activities and outcomes
RESP: REDD+ Country Government
ACTIONS: N/A
DOCU: SESA Summary, for inclusion in R-Package
TOOLS: Guidelines in Annex D of R-PP template

STEP 11: Implement the national REDD+ strategy
RESP: REDD+ Country Government, in coordination with relevant stakeholders at various levels (for monitoring)
ACTIONS: Follow protocols in approved ER Programs for the design and implementation of specific project(s), activity(-ies), policy(-ies)/regulation(s); Pursue any additional policy and/or institutional reforms that might be needed
DOCU: ERPAs
TOOLS: SESA dialogue

STEP 12: Apply the ESMF
RESP: REDD+ Country Government, in coordination with relevant stakeholders at various levels (for monitoring)
ACTIONS: Prepare and implement site-specific impact mitigation/management plans for specific project(s), activity(-ies), policy(-ies)/regulation(s) related to REDD+ strategy implementation
DOCU: Impact mitigation/management plan for each specific activity
TOOLS: environmental impact assessment; social impact assessment

NOTE: The list of "TOOLS" provided for each step is not meant to be exhaustive.

Conclusions

- Heavy emphasis on ex-ante assessment
- But: Many strategies have been selected already
- Is a requirement – so its going to happen in at least 37 countries in FCPF programme
- Methodological guidance needed
- Heavily geared towards compliance to WB safeguards
- Ex-ante aspect (ESMF) is about developing a plan to mitigate impacts associated with WB safeguards
- Limited linkage to non-governmental stakeholders or nationally defined indicators / processes
- Heavily reliant on external consultants
- Limited reference to WB PSIA approaches

Social Assessment of Protected Areas Initiative (SAPA)

Phil Franks, CARE International

Background

- International agreements:
  - stating that PAs should do no harm and where possible contribute to poverty reduction (WPC 2003, CBD 2008)
  - calling for assessment of economic and social-cultural costs and benefits (CBD Programme of Work on PAs, 2004)
- Growing concern around bias in assessing social impacts of PAs which fuels polarisation of views and undermines political will to improve social equity in conservation
- SAPA launched in 2008 as an initiative of CARE, IIED, IUCN-TILCEPA, UNEP-WCMC, TNC

SAPA Phase 1 – defining focus

- Defined goal:

  identify/develop and evaluate a range of methodologies and tools for assessing the social impacts of protected areas that enable conservation policy and practice to better adhere to the globally accepted principle that protected areas should strive to contribute to poverty reduction at the local level, and at the very minimum must not contribute to or exacerbate poverty.

- Characterisation of users
- Rough characterisation of some existing methods
  - Clustering into two main groups: “Rapid” and ‘Rolls-Royce”
- Agreed to focus on:
  - on-going (synchronous) and ex post assessment
  - relatively rapid (=quick and dirty) methods

SAPA Phase 2 – reviewing methods

see Schreckenberg et al 2010

- Clarifying terminology
  - Tools: specific data gathering instruments/exercises.
  - Methods: sets of tools of a certain type, e.g. Participatory Rural Appraisal.
  - Methodologies: overall package of experimental design and information gathering tools
  - Approach: process comprising enabling actions, development and application of methodology, and applying the results
- Reviewed 30 methods/tools, selected 20 as applicable to PA social assessment of which 7 had actually been used on PAs
- Characterised methods using 12 descriptors

SAPA Phase 2 – reviewing methods cont:

see Schreckenberg et al 2010

- Conceptual frameworks
  - None
  - Sustainable livelihoods
  - World Bank poverty framework (based on opportunities)
  - Causal model/theory of change
- Indicators (c 200)
  - Output, outcome/effect, impact
  - Quantitative and qualitative
  - Externally and internally defined
  - Household, community, PA, and national levels (MDG indicators)

SAPA Phase 2 – reviewing methods cont:

see Schreckenberg et al 2010

- Types of tool
  - Participatory well-being ranking
  - Household survey
  - Focus group discussion
  - PRA
  - Key informant interview
  - Participant observation
- Some methods used focus groups to identify priority + and - impacts prior to assessment (i.e. scoping)

SAPA Phase 2 – reviewing methods cont:

see Schreckenberg et al 2010

- Attribution
  - To what extent are observed impacts due to the PA rather than other factors and to what extent are impacts due to PA as an institution (NRM approach) versus PA as an ecosystem
  - Approaches to attribution – defining the counterfactual
    - With/without
    - Before/after
    - Reflexive comparison: respondents imagine (or think back to) a without PA scenario and relate their PA impact experience to this
    - Causal model approaches can develop a “business as usual” scenario (less appropriate for PAs that have existed for some time)

SAPA Phase 2 – reviewing methods cont:

see Schreckenberg et al 2010

- Some key weaknesses of many methods/tools
  - Focus on data rather than learning
  - Lack of guidance on data analysis
  - Lack of capacity for up-ward aggregation
  - Inability to assess intangible benefits and costs (which were often very significant, e.g. better rainfall (+), poor roads (-)
  - Focusing only/mainly on benefits (8 out of 20 methods did not explicitly address costs)
- Conclusion: there is no one universally applicable methodology
- But you could define a generic process to identify and tailor one (or more) methodologies for a given context that meet acceptable standards of objectivity, participation, transparency

The SAPA process (first draft)

Step 1: Design SAPA at PA level
(objectives, processes, governance, users)

Step 2: Agree scope and limitations of SAPA
(geographic and temporal boundaries, stakeholders)

Step 3: Collect context information
(contextual information - social and protected area)

Context

Step 4: Identify impacts related to PA
(stakeholders assessment, check against list)

Step 5: Prioritise impacts by importance
(e.g. by type of people affected, biodiversity impacts)

Impacts

Step 6: Verify observed impacts
(choice of tools, indicators, etc)

Step 7: Identify and verify causes of impacts
(could be PA or non-PA related)

Assessment

Step 8: Implement responses to the SAPA
(prioritisation of activities and developing of monitoring)

Step 9: Disseminate results

Application

Personal reflections I

- You cannot assume that good governance leads to positive social impact (especially for marginalised/vulnerable groups) because, for example:
  - What looks like good governance isn't when you look more closely (e.g. because of elite capture)
  - Benefits may be negated by high transaction costs of participatory processes (e.g. PA co-management)
- Watch our for attempts to attribute all benefits of a particular ecosystem to the particular NRM approach (e.g. PA governance type) applied to that ecosystem
  - ⇨ It's not about comparing a forest PA situation with no forest
  - ⇨ Its about exploring the different scenarios of PA management/ governance and their social and conservation impacts

Personal reflections II

Livelihood benefits, poverty reduction and equity

- Existence of significant livelihood benefits does not mean a net positive social benefit/impact (as may be negated by costs)
  - ⇨ You have to assess both positive and negative impacts
- Existence of net positive social benefit/impact does not necessarily lead to poverty reduction (may just maintain the status quo)
- Existence of net social benefit/impact does not indicate equitable distribution/sharing of benefits and costs
  - At individual, household and community levels (within & between)
  - Along the carbon value chain ("vertical equity")
- Evidence of impacts at community level says little about impacts on specific social groups (positive impacts can obscure negative)
  - ⇨ Crucial importance of social differentiation in assessment

Ethnography?